
State:	District of Columbia	Filing Company:	Zurich American Insurance Company
TOI/Sub-TOI:	17.2 Other Liability-Claims Made Only/17.2006 Directors & Officers Liability		
Product Name:	Employee Benefit Plan ERISA		
Project Name/Number:	/43446		

Filing at a Glance

Company:	Zurich American Insurance Company
Product Name:	Employee Benefit Plan ERISA
State:	District of Columbia
TOI:	17.2 Other Liability-Claims Made Only
Sub-TOI:	17.2006 Directors & Officers Liability
Filing Type:	Form
Date Submitted:	01/14/2020
SERFF Tr Num:	ZURC-132220754
SERFF Status:	Submitted to State
State Tr Num:	
State Status:	
Co Tr Num:	43446
Effective Date	03/15/2020
Requested (New):	
Effective Date	03/15/2020
Requested (Renewal):	
Author(s):	Paula Bartell
Reviewer(s):	
Disposition Date:	
Disposition Status:	
Effective Date (New):	
Effective Date (Renewal):	

State: District of Columbia **Filing Company:** Zurich American Insurance Company
TOI/Sub-TOI: 17.2 Other Liability-Claims Made Only/17.2006 Directors & Officers Liability
Product Name: Employee Benefit Plan ERISA
Project Name/Number: /43446

General Information

Project Name: Status of Filing in Domicile:
Project Number: 43446 Domicile Status Comments:
Reference Organization: Reference Number:
Reference Title: Advisory Org. Circular:
Filing Status Changed: 01/14/2020
State Status Changed: Deemer Date:
Created By: Paula Bartell Submitted By: Paula Bartell
Corresponding Filing Tracking Number:

Filing Description:

Section V.A.4. Employee Benefit Plans Amended (ERISA Bond Compliance Under Employee Theft) – U-ML-3091C CW (01/20)

This endorsement amends the Crime Coverage Part by adding a provision to clarify that coverage under Insuring Clause A for Employee Theft afforded to an Employee Benefit Plan as defined by the Employee Retirement Income Security Act of 1974 ("ERISA") is intended to provide such coverage in compliance with ERISA Section 412 as may be amended. This endorsement would be attached for any insured that sponsors such Employee Benefit Plans as observed during the underwriting assessment of the risk.

Company and Contact

Filing Contact Information

Paula Bartell, Project Manager paula.bartell@zurichna.com
1299 Zurich Way 847-605-6177 [Phone]
Schaumburg, IL 60196-1056 847-240-4514 [FAX]

Filing Company Information

Zurich American Insurance Company	CoCode: 16535	State of Domicile: New York
1299 Zurich Way	Group Code: 212	Company Type:
Schaumburg, IL 60196	Group Name:	State ID Number:
(847) 605-6000 ext. [Phone]	FEIN Number: 36-4233459	

Filing Fees

Fee Required? No
Retaliatory? No
Fee Explanation:

State:	District of Columbia	Filing Company:	Zurich American Insurance Company
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Form Schedule

Item No.	Schedule Item Status	Form Name	Form Number	Edition Date	Form Type	Form Action	Action Specific Data	Readability Score	Attachments
1		Section V.A.4. Employee Benefit Plans Amended (ERISA Bond Compliance Under Employee Theft)	U-ML-3091C CW	(01/20)	END	New			UML3091CCW0120.pdf

Form Type Legend:

ABE	Application/Binder/Enrollment	ADV	Advertising
BND	Bond	CER	Certificate
CNR	Canc/NonRen Notice	DEC	Declarations/Schedule
DSC	Disclosure/Notice	END	Endorsement/Amendment/Conditions
ERS	Election/Rejection/Supplemental Applications	OTH	Other

Endorsement #

Section V.A.4. Employee Benefit Plans Amended
(ERISA Bond Compliance Under Employee Theft)



Policy No.	Eff. Date of Pol.	Exp. Date of Pol.	Eff. Date of End.	Add'l Prem.	Return Prem.

Policyholder:

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

This endorsement modifies insurance provided under the following:

Private Company Select Insurance Policy

Crime Coverage Part

It is agreed that:

Subsection V.A.4 Employee Benefit Plans is amended to add the following:

With respect to coverage provided for **Employee Benefit Plans** under Insuring Clause A, this policy is intended to provide coverage in compliance with ERISA Section 412 (29 USC § 1112(a)), and will be deemed enhanced or revised as necessary in a particular instance to provide coverage as required for an **Employee Benefit Plan's** compliance with the minimum bond requirements of ERISA Section 412(a), including with regard to minimum amounts of coverage provided.

All other terms, conditions, provisions and exclusions of this policy remain the same.

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Project Name/Number:	/43446		

Supporting Document Schedules

Bypassed - Item:	Readability Certificate
Bypass Reason:	N/A
Attachment(s):	
Item Status:	
Status Date:	

Bypassed - Item:	Consulting Authorization
Bypass Reason:	N/A
Attachment(s):	
Item Status:	
Status Date:	

Bypassed - Item:	Copy of Trust Agreement
Bypass Reason:	N/A
Attachment(s):	
Item Status:	
Status Date:	

Bypassed - Item:	Expedited SERFF Filing Transmittal Form
Bypass Reason:	N/A
Attachment(s):	
Item Status:	
Status Date:	

Satisfied - Item:	Explanatory Memo
Comments:	
Attachment(s):	ERISA - ML - Explanatory Memo.pdf
Item Status:	
Status Date:	

**ERISA Bond Compliance Endorsement
Forms Explanatory Memorandum**

Zurich American Insurance Company submits a new endorsement to be used with the previously filed and approved Crime Coverage Part for the Private Company Select Insurance Policy (form U-PCL-150-A CW (09/09) and Not-For-Profit Select Insurance Policy (form U-NPL-150-A CW (04/09)). These proposed changes will have no impact on previously filed rates. The endorsement listed below is intended to be available for countrywide use.

Section V.A.4. Employee Benefit Plans Amended (ERISA Bond Compliance Under Employee Theft) – U-ML-3091C CW (01/20)

This endorsement amends the Crime Coverage Part by adding a provision to clarify that coverage under Insuring Clause A for Employee Theft afforded to an Employee Benefit Plan as defined by the Employee Retirement Income Security Act of 1974 (“ERISA”) is intended to provide such coverage in compliance with ERISA Section 412 as may be amended. This endorsement would be attached for any insured that sponsors such Employee Benefit Plans as observed during the underwriting assessment of the risk.